Exhibit 300: Part I: Summary Information and Justification (All Capital Assets)

I.A. Overview

1. Date of Submission:	
2. Agency:	Small Business Administration
3. Bureau:	HUBZone Empowerment Contracting
4. Name of this Capital Asset:	GCBD: HUBZone System
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)	028-00-01-03-01-3003-00
6. What kind of investment will this be in FY2008? (Please NOTE: Investments moving to O&M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 should not select O&M. These investments should indicate their current status.)	Mixed Life Cycle
7. What was the first budget year this investment was submitted to OMB?	FY2001 or earlier

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The HUBZone Certification Tracking System (HCTS) is a mixed lifecycle investment. The current Hubzone investment is an advanced, Internet-based electronic system that resides on a Coldfusion server accessing a SYBASE database server. This Web-based system enables small businesses to apply and be approved online for the HUBZone program. It enables government agencies to search for qualifying firms. It is one of the most complex, yet efficient databases that works cooperatively with the DoD's CCR system and SBA's Small Business Source System. In FY06 planning began to update (D/M/E) the current Internet based application for HUBZone Program and automated business processes with substantial embedded decision logic for certifications, re-certifications, program examinations, and adjudication of protests and appeals by contracting-out systems design, development, and maintenance using any of the newer programming languages now available.

9. Did the Agency's Executive/Investment Committee approve this request?	Yes
a. If "yes," what was the date of this approval?	2/16/2006
10. Did the Project Manager review this Exhibit?	Yes

11. Contact information of Project Manager?

Name

Phone Number

Email	
12. Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project.	Yes
a. Will this investment include electronic assets (including computers)?	Yes
b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)	No
1. If "yes," is an ESPC or UESC being used to help fund this investment?	No
2. If "yes," will this investment meet sustainable design principles?	No
3. If "yes," is it designed to be 30% more energy efficient than relevant code?	
13. Does this investment support one of the PMA initiatives?	No
If "yes," check all that apply:	
13a. Briefly describe how this asset directly supports the identified initiative(s)?	The HUBZone Certification Tracking System (HCTS) is supported by an advanced, Internet-based electronic system that resides on a Coldfusion server accessing a SYBASE database server. This Web-based system enables small businesses to apply and be approved online for the HUBZone program. It enables government agencies to search for qualifying firms. It is one of the most complex, yet efficient databases that work cooperatively with the DoD's CCR system and SBA's Small Business Source System.
14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.)	Yes
a. If "yes," does this investment address a weakness found during the PART review?	No
b. If "yes," what is the name of the PART program assessed by OMB's Program Assessment Rating Tool?	HUBZone Program
c. If "yes," what PART rating did it receive?	Effective
15. Is this investment for information technology?	Yes

If the answer to Question: "Is this investment for information technology?" was "Yes," complete this sub-section. If the answer is "No," do not answer this sub-section.

For information technology investments only:	
16. What is the level of the IT Project? (per CIO Council PM Guidance)	Level 1
17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance):	(1) Project manager has been validated as qualified for this investment
18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)?	No
19. Is this a financial management system?	No
a. If "yes," does this investment address a FFMIA compliance area?	No
1. If "yes," which compliance area:	
2. If "no," what does it address?	
b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52	

20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)

Hardware	0
Software	0
Services	0
Other	0
21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?	Yes

22. Contact information of individual responsible for privacy related questions:

Name

Phone Number

Title	

E-mail

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?	Yes

I.B. Summary of Funding

Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The total estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY - 1 and Earlier	PY 2006	CY 2007	BY 2008	BY + 1 2009	BY + 2 2010	BY + 3 2011	BY + 4 and Beyond	Total
Planning									
Budgetary Resources	0.07	0.005	0.005	0.002					
Acquisition									
Budgetary Resources	1.03	0	0.445	0.148					
Subtotal Planning & Acquisition									
Budgetary Resources	1.1	0.005	0.45	0.15					
Operations & Maintenance									
Budgetary Resources	1.19	0.43	0.125	0.29					
TOTAL									
Budgetary Resources	2.29	0.435	0.575	0.44					
Government FTE Costs									
Budgetary Resources	0.63102	0.117	0.124	0.126					
Number of FTE represented by Costs:	7.2	1.2	1.2	1.2					

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's?	Yes
a. If "yes," How many and in what year?	1 in Fiscal Year 2007 as replacement for incumbent, and maintained for each year thereafter.

3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes:

The BY08 Summary of Spending did not include the system enhancements now envisioned for this investment. In FY06 funding was allocated to initiate the

planning for the D/M/E effort. The BY08 summary of spending incorporates the effects of this new effort in FY07 and beyond.

I.C. Acquisition/Contract Strategy

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.

Contracts/Task Orders Table:

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

3. Do the contracts ensure Section 508 compliance?	Yes
a. Explain why:	
4. Is there an acquisition plan which has been approved in accordance with agency requirements?	Yes
a. If "yes," what is the date?	2/16/2006
b. If "no," will an acquisition plan be developed?	
1. If "no," briefly explain why:	

I.D. Performance Information

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

| Performance Information Table 1: |

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
2004	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness	Maintain 2,200.00 Service Level for electronic application processing for firms added to HUBZone portfolio.	2,200.00	New firms added to the HUBZone portfolio during the specified time period using the HUBZone certification system's application module.	New firms were added to the HUBZone portfolio within the specified time period using the HUBZone application element of the HUBZone certification system.
2004	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Increase to 500.00 Service Level for electronically processed program examinations.	0.00	Using online HUBZone Certification System, conduct the requisite number of program examinations.	The online HUBZone Certification System was used to conduct the requisite number of program examinations.
2005	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Increase to 575.00 Service Level electronically processed program examinations.	500.00	Using online HUBZone Certification System, conduct the requisite number of program examinations.	The online HUBZone Certification System was used to conduct the requisite number of program examinations.
2005	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Maintain 2,200.00 Service Level for electronic application processing.	2,200.00	New firms added to the HUBZone portfolio during the specified time period using the HUBZone certification system's application module.	New firms were added to the HUBZone portfolio within the specified time period using the HUBZone application element of the HUBZone certification
2005	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Increase to 15.00 Service Level for electronically processed protests and appeals	0.00	Create and use an electronic tracking system to process Protest and Appeals.	An electronic tracking system was used to process Protest and Appeals.
2005	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Increase to 700.00 Service Level for electronic recertification.	00.00	Using a new module, achieve the requisite number of recertification actions through on online system.	A newly-created online recertification system was used to verify the continuing eligibility of certified HUBZone small business concerns.
2006	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and	Maintain 2,200.00 Service Level for electronic application processing	2,200.00	New firms added to the HUBZone portfolio during the specified time period using the HUBZone certification	New firms were added to the HUBZone portfolio within the specified time period using the HUBZone

	Effectiveness.			system's application module.	application element of the HUBZone certification system.
2006	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Increase to 675.00 Service Level for electronically processed program examinations.	660.00	Using online HUBZone Certification System, conduct the requisite number of program examinations.	The online HUBZone Certification System was used to conduct the requisite number of program examinations.
2006	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Increase to 2,700.00 Service Level for electronic recertification.	700.00	Using a new module, achieve the requisite number of recertification actions through on online system.	The online HUBZone Certification System was used to conduct the requisite number of recertification.
2006	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Increase to 20.00 Service Level for electronically processed protests and appeals	15.00	Use an electronic tracking system to process Protest and Appeals.	Achieved the requisite number of case tracking's using the new system.
2007	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Maintain 2,200.00 Service Level for electronic processing of applications.	2,200.00	New firms added to the HUBZone portfolio during the specified time period using the HUBZone certification system's application module.	
2007	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Decrease to 2,200.00 Service Level for electronic recertification.	2,700.00	Using a new module, achieve the requisite number of recertification actions through on online system.	
2007	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Maintain 20.00 Service Level for electronically processed protests and appeals.	20.00	Use an electronic tracking system to process Protest and Appeals.	
2007	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Decrease to 615.00, or five percent of portfolio, as Service Level for electronically processed program examinations.	675.00	Using online HUBZone Certification System, conduct the requisite number of program examinations.	
2008	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Maintain 2,200.00 Service Level for electronic processing of applications.	2,200.00	New firms added to the HUBZone portfolio during the specified time period using the HUBZone certification system's application module.	
2008	Strategic Goal 2: Bridging	Maintain the 615.00 Service	615.00	Using online HUBZone	

	Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Level for electronically processed program examinations.		Certification System, conduct the requisite number of program examinations.	
2008	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Maintain 20.00 Service Level for electronically processed protests and appeals.	20.00	Use an electronic tracking system to process Protest and Appeals.	
2008	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Maintain 2,200.00 Service Level for electronic recertification.	2,200.00	Using the online module, achieve the requisite number of recertification actions through the system.	
2009	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Maintain Service Level for electronic processing of applications.		New firms added to the HUBZone portfolio during the specified time period using the HUBZone certification system's application module.	
2009	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Maintain Service Level for electronically processed protests and appeals.		Use an electronic tracking system to process Protest and Appeals.	
2009	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Maintain Service Level for electronic processing of program examinations.		Using the online module, achieve the requisite number of program examinations through the system.	
2009	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Maintain Service Level for electronic recertification.		Using the online module, achieve the requisite number of recertification actions through the system.	
2010	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Maintain Service Level for electronic processing of applications.		New firms added to the HUBZone portfolio during the specified time period using the HUBZone certification system's application module.	
2010	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Maintain Service Level for electronically processed protests and appeals.		Use an electronic tracking system to process Protest and Appeals.	

Fiscal Year						
2010	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Maintain Service Level for electronic processing of program examinations.		Using the online module, achieve the requisite number of program examinations through the system.	
2010	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Maintain Service Level for electronic recertification.		Using the online module, achieve the requisite number of recertification actions through the system.	
2011	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness. 2,200.00	Maintain Service Level for electronic processing of applications.		New firms added to the HUBZone portfolio during the specified time period using the HUBZone certification system's application module.	
2011	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Maintain Service Level for electronically processed protests and appeals.		Use an electronic tracking system to process Protest and Appeals.	
2011	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Maintain Service Level for electronic processing of program examinations.		Using the online module, achieve the requisite number of program examinations through the system.	
2011	Strategic Goal 2: Bridging Competitive Opportunity Gaps. Strategic Goal 4: Program Efficiency and Effectiveness.	Maintain Service Level for electronic recertification.		Using the online module, achieve the requisite number of recertification actions through the system.	

All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov.

Performance Information Table 2:						
Fiscal Year	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
2007	Customer Results	Service Coverage	Frequency and Depth	The total amount of contract dollars going to HUBZone firms in a given	IN FY2003, the government-wide HUBZone prime contract achievement reported at 1.23	Increase by ten percent from previous year's achievement.	

				year.	percent (or $3.4 billion)		
2007	Mission and Business Results	Economic Development	Business and Industry Development	Number of jobs reported for HUBZone communities.	Survey data collected in FY2005 among the 13,500 HUBZone firms established that they employ 191,000 of which 124,000 are HUBZone residents.	Increase the level HUBZone employment by three percent from the previous year relative to portfolio size.	
2007	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Amount of time individual analyst spends reviewing individual application.	IN FY05, certification staff spent about two hours per application.	Increase by ten percent the amount of time each analyst spends reviewing an application.	
2007	Technology	Effectiveness	User Requirements	The number of analytical reports that can be generated to evaluate the HUBZone portfolio.	IN FY05, only one module (application) generates desktop analysis that can be used by senior HUBZone staff.	Increase by one the number of HUBZone System modules that can generate desktop analytical reports.	
2008	Customer Results	Service Coverage	Frequency and Depth	The total amount of contract dollars going to HUBZone firms in a given year.	IN FY2003, the government-wide HUBZone prime contract achievement reported at 1.23 percent (or $3.4 billion)	Increase by ten percent from previous year's achievement.	
2008	Mission and Business Results	Economic Development	Business and Industry Development	Number of jobs reported for HUBZone communities.	Survey data collected in FY2005 among the 13,500 HUBZone firms established that they employ 191,000 of which 124,000 are HUBZone residents.	Increase the level HUBZone employment by three percent from the previous year relative to portfolio size.	
2008	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Amount of time individual analyst spends reviewing individual application.	IN FY05, certification staff spent about two hours per application.	Increase by ten percent the amount of time each analyst spends reviewing an application.	
2008	Technology	Effectiveness	User Requirements	The number of analytical reports that can be generated to evaluate the HUBZone portfolio.	IN FY05, only one module (application) generates desktop analysis that can be used by senior HUBZone staff.	Increase by one the number of HUBZone System modules that can generate desktop analytical reports.	
2009	Customer Results	Service Coverage	Frequency and Depth	The total amount of contract dollars going to HUBZone firms in a given year.	IN FY2003, the government-wide HUBZone prime contract achievement reported.	Increase by ten percent from previous year's achievement.	
2009	Mission and Business Results	Economic Development	Business and Industry Development	Number of jobs reported for HUBZone communities.	Survey data collected in FY2005 among the 13,500 HUBZone firms established that they employ 191,000 of which 124,000 are HUBZone	Increase the level HUBZone employment by three percent from the previous year relative to portfolio size.	

					residents.		
2009	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Amount of time individual analyst spends reviewing individual application.	IN FY05, certification staff spent about two hours per application.	Increase by ten percent the amount of time each analyst spends reviewing an application.	
2009	Technology	Effectiveness	User Requirements	The number of analytical reports that can be generated to evaluate the HUBZone portfolio.	IN FY05, only one module (application) generates desktop analysis that can be used by senior HUBZone staff.	Increase by one the number of HUBZone System modules that can generate desktop analytical reports.	
2010	Customer Results	Service Coverage	Frequency and Depth	The total amount of contract dollars going to HUBZone firms in a given year.	IN FY2003, the government-wide HUBZone prime contract achievement reported.	Increase by ten percent the amount of time each analyst spends reviewing an application.	
2010	Mission and Business Results	Economic Development	Business and Industry Development	Number of jobs reported for HUBZone communities.	Survey data collected in FY2005 among the 13,500 HUBZone firms established that they employ 191,000 of which 124,000 are HUBZone residents.	Increase the level HUBZone employment by three percent from the previous year relative to portfolio size.	
2010	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Amount of time individual analyst spends reviewing individual application.	IN FY05, certification staff spent about two hours per application.	Increase by ten percent the amount of time each analyst spends reviewing an application.	
2010	Technology	Effectiveness	User Requirements	The number of analytical reports that can be generated to evaluate the HUBZone portfolio.	IN FY05, only one module (application) generates desktop analysis that can be used by senior HUBZone staff.	Increase by one the number of HUBZone System modules that can generate desktop analytical reports.	
2011	Customer Results	Service Coverage	Frequency and Depth	The total amount of contract dollars going to HUBZone firms in a given year.	IN FY2003, the government-wide HUBZone prime contract achievement reported.	Increase by ten percent the amount of time each analyst spends reviewing an application.	
2011	Mission and Business Results	Economic Development	Business and Industry Development	Number of jobs reported for HUBZone communities.	Survey data collected in FY2005 among the 13,500 HUBZone firms established that they employ 191,000 of which 124,000 are HUBZone residents.	Increase the level HUBZone employment by three percent from the previous year relative to portfolio size.	
2011	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Amount of time individual analyst spends reviewing individual application.	IN FY05, certification staff spent about two hours per application.	Increase by ten percent the amount of time each analyst spends reviewing an application.	
2011	Technology	Effectiveness	User	The number of analytical	IN FY05, only one module	Increase by one the	

			Requirements	reports that can be generated to evaluate the HUBZone portfolio.	(application) generates desktop analysis that can be used by senior HUBZone staff.	number of HUBZone System modules that can generate desktop analytical reports.	

I.E. Security and Privacy

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

All systems supporting and/or part of this investment should be included in the tables below, inclusive of both agency owned systems and contractor systems. For IT investments under development, security and privacy planning must proceed in parallel with the development of the system/s to ensure IT security and privacy requirements and costs are identified and incorporated into the overall lifecycle of the system/s.

Please respond to the questions below and verify the system owner took the following actions:

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment:	Yes
a. If "yes," provide the "Percentage IT Security" for the budget year:	0
2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment.	Yes

3. Systems in Planning - Security Table:			
Name of System	**Agency/ or Contractor Operated System?**	**Planned Operational Date**	**Planned or Actual C&A Completion Date**
HUBZone Certification Tracking System (upgrade)	Contractor and Government	12/31/2007	12/31/2007

4. Operational Systems - Security Table:							
Name of System	**Agency/ or Contractor Operated System?**	**NIST FIPS 199 Risk Impact level**	**Has C&A been Completed, using NIST 800-37?**	**Date C&A Complete**	**What standards were used for the Security Controls tests?**	**Date Complete(d): Security Control Testing**	**Date the contingency plan tested**
HUBZone Certification Tracking System (HUBZONE e-Application System)	Contractor and Government	Low	Yes	7/29/2006	FIPS 200 / NIST 800-53	3/31/2006	8/23/2006

5. Have any weaknesses related to any of the systems part of or supporting this investment been identified by the agency or IG? No

   a. If "yes," have those weaknesses been incorporated agency's plan of action and milestone process? Yes

6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses? No

   a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness.

7. How are contractor security procedures monitored, verified, validated by the agency for the contractor systems above?

The HCTS is operated by on-site contractors who must comply with all security and System Development Methodology (SDM) requirements issued by the SBA Office of Chief Information Officer. This includes contractor personnel participation in Agency-sponsored security briefings, training adn compliance audits. In addition, each element of HUBZone system development is reviewed by the HUBZone Security Officer (in collaboration with others in Agency's IT security field) to make certain that programs and procedures being evolved comply with existing Federal regulations. Specifically SBA uses the following methods to monitor, verify, and validate contractor security procedures: MONITORED -- Contractors secured to perform services on the HCTS are pre-screened on a need-to-access basis and required to submit a database access form that is signed by two levels of senior HUBZone personnel before routing down to the Office of the Chief Information Officer for approval by the chief of IT Security. [NOTE: No contractor is given global access to HCTS or its data and each individual access action is governed by a defined role. The activity for each role operates against a stored procedure within a database maintained by the OCIO and supervised by an OCIO security group.] VERIFIED -- Only when the IT Security Office screening is completed (above) is the individual assigned a specific predefined role and granted access to the system to perform the task. At the conclusion of that task, the contractor must present a fully completed review sheet and the task is evaluated by senior HUBZone personnel. The task sheet is then signed by the HUBZone Project Manager and at least one other senior HUBZone official. VALIDATED -- As with all roles within the HCTS, any action taken is recorded in the database (activity and time/date record by unique user ID) and the action, as well as all identifying elements, are passed for review to the next level of administrative review. The activity is retained so that it can be recalled at any time. The process described above was evolved in accordance with the Agency's System Development Methodology (SDM) and applied to the contract staff working under the bridge contract now in place. There is a provision included in the newer system development contract, awarded to a new system developer at the end of FY06, which requires this contractor to comply in a similar fashion to all Agency SDM requirements.

8. Planning & Operational Systems - Privacy Table:					
Name of System	Is this a new system?	Is there a Privacy Impact Assessment (PIA) that covers this system?	Is the PIA available to the public?	Is a System of Records Notice (SORN) required for this system?	Was a new or amended SORN published in FY 06?
HUBZone Certification Tracking System	No	Yes.	Yes.	No	No, because the existing Privacy Act system of records was not substantially revised in FY 06.
HUBZone Certification Tracking System (upgrade)	Yes	Yes.	Yes.	Yes	Yes, because the existing Privacy Act system of records was substantially revised in FY 06.

I.F. Enterprise Architecture (EA)

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture?	Yes
a. If "no," please explain why?	

2. Is this investment included in the agency's EA Transition Strategy?	Yes
a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.	Initiative #14: EA - Migrate legacy SBA business applications to the target Application Architecture; move internal, paper-based SBA business processes to the Intranet
b. If "no," please explain why?	

3. Service Reference Model (SRM) Table: Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.whitehouse.gov/omb/egov/.								
Agency Component Name	**Agency Component Description**	**Service Domain**	**FEA SRM Service Type**	**FEA SRM Component**	**FEA Service Component Reused Name**	**FEA Service Component Reused UPI**	**Internal or External Reuse?**	**BY Funding Percentage**
Meta Data Management	Support the maintenance and administration of data that	Back Office Services	Data Management	Meta Data Management			No Reuse	5

	describes data.								
Balanced Scorecard	Supports the listing and analyzing of both positive and negative impacts associated with a decision.	Business Analytical Services	Business Intelligence	Balanced Scorecard			No Reuse	10	
Ad-hoc	Supports the use of dynamic reports on an as needed basis.	Business Analytical Services	Reporting	Ad Hoc			No Reuse	5	
OLAP	Support the analysis of information that has been summarized into multidimensional views and hierarchies.	Business Analytical Services	Reporting	OLAP			No Reuse	2	
Standardized/Canned	Supports the use of pre-conceived or pre-written reports.	Business Analytical Services	Reporting	Standardized / Canned			No Reuse	5	
Self-service	Allows an organization's customers to sign up for a particular service at their own initiative.	Customer Services	Customer Initiated Assistance	Self-Service			No Reuse	25	
Access Control	Defined access based on pre-defined roles of administration and responsibility	Digital Asset Services	Records Management	Digital Rights Management			No Reuse	1	
Case Management	HUBZone Certification Tracking System (HCTS) which manages the life cycle of a particular claim or investigation within an organization to include creating, routing, tracing, assignment and closing of a caser as well as collaboration among case handlers.	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	25	
Case Management	Manage the life cycle of a particular claim or investigation within an organization to include creating, routing, tracing, assignment and closing of a caser as well as collaboration among case handlers.	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	20	
User Management	Pre-defined role access	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	1	
Case Management	Manage the life cycle of a particular claim or investigation within an organization to include creating, routing, tracing, assignment and closing of a caser as well as collaboration among case handlers.	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	1	

Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.

A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

4. Technical Reference Model (TRM) Table:
To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Computers / Automation Management	Component Framework	Data Management	Database Connectivity	Open Database Connectivity (ODBC)
Ad Hoc	Component Framework	Data Management	Database Connectivity	Sybase Adaptive Server
OLAP	Component Framework	Data Management	Reporting and Analysis	OLAP
Information Retrieval	Component Framework	Presentation / Interface	Static Display	HTML
Intrusion Prevention	Component Framework	Security	Supporting Security Services	SSH
Email	Service Access and Delivery	Access Channels	Collaboration / Communications	Microsoft Outlook
Meta Data Management	Service Access and Delivery	Access Channels	Other Electronic Channels	System to system
Computers / Automation Management	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Computers / Automation Management	Service Access and Delivery	Access Channels	Web Browser	Netscape Communicator
Access Control	Service Access and Delivery	Delivery Channels	Internet	
Access Control	Service Access and Delivery	Delivery Channels	Intranet	
Access Control	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	AT&T Global
Risk Management	Service Access and Delivery	Service Requirements	Legislative / Compliance	Privacy
Content Publishing and Delivery	Service Access and Delivery	Service Requirements	Legislative / Compliance	Section 508

Access Control	Service Access and Delivery	Service Requirements	Legislative / Compliance	Security
Computers / Automation Management	Service Access and Delivery	Service Requirements	Legislative / Compliance	Web Content Accessibility
Access Control	Service Access and Delivery	Service Transport	Supporting Network Services	HTTP
Access Control	Service Access and Delivery	Service Transport	Supporting Network Services	HTTPS
Access Control	Service Access and Delivery	Service Transport	Supporting Network Services	TBD - Planning
Decision Support and Planning	Service Platform and Infrastructure	Database / Storage	Database	Sybase
Network Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Access Control	Service Platform and Infrastructure	Delivery Servers	Application Servers	TBD - Planning
Data Warehouse	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Hard disk drive
Data Warehouse	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Microprocessor
Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	RAID
Data Exchange	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	RAM
Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Ethernet
Intrusion Prevention	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Firewall
Data Exchange	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	HUB
Case Management	Service Platform and Infrastructure	Software Engineering	Modeling	Case Management
Software Development	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Change Management
Software Development	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Issue Management
Software Development	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Requirements Management
Software Development	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Task Management
Software Development	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Version Management
Software Development	Service Platform and Infrastructure	Software Engineering	Test Management	Functional Testing

Software Development	Service Platform and Infrastructure	Software Engineering	Test Management	Usability Testing

Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications

In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?	Yes

a. If "yes," please describe.

The HUBZone Office is supported by an advanced, Internet-based electronic system that resides on a Coldfusion server accessing a SYBASE database server. It is one of the most efficient and modern systems currently within the SBA and is linked to other complex databases such as the Department of Defense Central Contractor Registration (CCR) System and the SBA's internal Small Business Source System (SBSS). This linkage provides for maximum level processing efficiency that allows for minimal customer impact in terms of time and costs.

6. Does this investment provide the public with access to a government automated information system?	Yes
a. If "yes," does customer access require specific software (e.g., a specific web browser version)?	Yes
1. If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and services).	The HUBZone web site and the application systems have been designed for Microsoft Internet Explorer® 4.0 or greater and Netscape® 4.06 or greater versions. Netscape 6.X series is NOT compatible with our web site and application systems. Currently Mac OS browsers are also NOT supported. If your computer does not have a compatible browser, please download one first by selecting a link below. Some downloadable documents on our web site require Adobe Acrobat® Reader 4.0 or greater version.

Exhibit 300: Part II: Planning, Acquisition and Performance Information

II.A. Alternatives Analysis

Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments in response to Question 6 in Part I, Section A above.

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A- 94 for all investments, and the Clinger Cohen Act of 1996 for IT investments,

to determine the criteria you should use in your Benefit/Cost Analysis.

1. Did you conduct an alternatives analysis for this project?	Yes
a. If "yes," provide the date the analysis was completed?	2/28/2006
b. If "no," what is the anticipated date this analysis will be completed?	
c. If no analysis is planned, please briefly explain why:	

2. Alternative Analysis Results: Use the results of your alternatives analysis to complete the following table:				
Send to OMB	**Alternative Analyzed**	**Description of Alternative**	**Risk Adjusted Lifecycle Costs estimate**	**Risk Adjusted Lifecycle Benefits estimate**
True	This alternative represents the status-quo or do-nothing approach that would simply continue Agency past practices that were established in the 1960s.	Approach involves manually executing HUBZone Program business processes of certification, re-certification, program examination, and adjudication of protests and appeals.	6.974	6.974
True	Update the current Internet based application for HUBZone Program and automated business processes with substantial embedded decision logic for certifications, re-certifications, program examinations, and adjudication of protests and appeals.	Contract-out systems design, development, and maintenance using any of the newer programming languages now available.	7.213	6.974
True	Update the current Internet based application for HUBZone Program and automated business processes with substantial embedded decision logic for certifications, re-certifications, program examinations, and adjudication of protests and appeals.	Internally source systems design, development and maintenance.	6.41	6.318
True	Update the current Internet based application for HUBZone Program and automated business processes with substantial embedded decision logic for certifications, re-certifications, program examinations, and adjudication of protests and appeals.	Contract-out systems design, development, and maintenance, retaining the current ColdFusion programming language.	6.775	6.986

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?

Update the current Internet based application for HUBZone Program and automated business processes with substantial embedded decision logic for certifications, re-certifications, program examinations, and adjudication of protests and appeals by contracting-out systems design, development, and maintenance using any of the newer programming languages now available. Return on investment is 1.48 This was chosen because, while higher risk element due to movement to new programming language, it yields the best combination of return on investment and discounted net return on investment. In addition, for the reasons noted previously, given Federal procurement environment and its reliance on electronic commerce plus the efficiencies brought about by the use of such technologies, Alternative 1 proved most advantageous. With regard to the President's Management Agenda - Expand Electronic Government -- SBA will play a leading role in the government wide initiative to offer electronic services to citizens and small businesses. The HUBZone System is, at its core, an

Internet Application Form and electronic certification process with substantial built-in decision logic that enables fast and efficient determination of eligibility for an important procurement preference program. Lastly, the HUBZone System supports the agency's Strategic Goal 2: Increase small business success by bridging competitive opportunity gaps facing entrepreneurs.

4. What specific qualitative benefits will be realized?

The HUBZone System fulfills the Congressional mandate to make easily available to small businesses located in economically distressed communities a a fully functioning certification system. The built in logic function allows a potential applicant to immediately determine upon entering certain fields of information whether they meet the most basic criteria for certification. Moving to the newer programming languages, while more initial risk, should ultimately result in a more responsive and robust system that includes initial application, recertification and program examination, the three major elements for program participation.

II.B. Risk Management

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

1. Does the investment have a Risk Management Plan?	Yes
a. If "yes," what is the date of the plan?	10/12/2004
b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?	No

c. If "yes," describe any significant changes:

2. If there currently is no plan, will a plan be developed?	
a. If "yes," what is the planned completion date?	
b. If "no," what is the strategy for managing the risks?	

3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule:

This office is still refining the plan's cost and schedule adjusted with System Development Methodology (SDM) through surveys and discussions top arrive at our current cost schedule estimate. This will be refined even further throughout FY07.

II.C. Cost and Schedule Performance

1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748?	No

2. Answer the following questions about current cumulative cost and schedule performance. The numbers reported below should reflect current actual information. (Per OMB requirements Cost/Schedule Performance information should include both Government and Contractor Costs):

a. What is the Planned Value (PV)?	0
b. What is the Earned Value (EV)?	0
c. What is the actual cost of work performed (AC)?	0
d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?	Contractor and Government
e. "As of" date:	9/8/2006
3. What is the calculated Schedule Performance Index (SPI= EV/PV)?	0
4. What is the schedule variance (SV = EV-PV)?	0
5. What is the calculated Cost Performance Index (CPI = EV/AC)?	0
6. What is the cost variance (CV=EV-AC)?	0
7. Is the CV% or SV% greater than +/- 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100)	No
a. If "yes," was it the?	
b. If "yes," explain the variance:	
c. If "yes," what corrective actions are being taken?	
d. What is most current "Estimate at Completion"?	0
8. Have any significant changes been made to the baseline during the past fiscal year?	No
8. If "yes," when was it approved by OMB?	No

Comparison of Initial Baseline and Current Approved Baseline

Milestone Number	Description of Milestone	Initial Baseline	Current Baseline	Current Baseline Variance	Percent Complete

		Planned Completion Date	Total Cost (Estimated)	Completion Date		Total Cost		Schedule (# days)	Cost	
				Planned	Actual	Planned	Actual			
1	FY2005 System Development - Protest and Appeals	01/15/2005	$0.122	01/15/2005	12/31/2004	$0.122	$0.122	15	$0.000	100.00%
2	FY 2005 Maintenance	09/30/2005	$0.326	09/30/2005	09/30/2005	$0.326	$0.326	0	$0.000	100.00%
3	FY 2006 Systems Development - Decertification	11/30/2005	$0.087	11/30/2005	01/15/2006	$0.087	$0.086	-46	$0.001	10.00%
4	FY2006 Maintenance	09/30/2006	$0.348	09/30/2006		$0.430				0%
5	FY 2007 System Development - Customer Profile Update	11/30/2007	$0.168	11/30/2007		$0.168				0%
6	FY2007 Maintenance	09/30/2007	$0.353	09/30/2007		$0.353				0%
7	FY 2008 Maintenance	09/30/2008	$0.370	09/30/2008		$0.370				0%
8	FY 2009 Maintenance	09/30/2009	$0	09/30/2009		$0				0%
Project Totals		**09/30/2009**	**$0**	**09/30/2009**	**01/15/2006**	**$0**	**$0**	**1354**	**$0**	**0**